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2004 APR 23 PM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

H. SATO et al

Serial No. 10/608,011

Filed: June 30, 2003

For: OPTOELECTRONIC WAVEGUIDING DEVICE, STRUCTURAL
BODY INCLUDING THE SAME, AND OPTICAL MODULE

REQUEST FOR REFUND

Mail Stop 16
Director of the U.S.
Patent and Trademark Office
Alexandria, VA 22313-1450

Sir:

Applicants request a refund in the above-identified application due to an error on the part of the Patent Office.

On June 30, 2003, Applicants filed the new application in the above-identified application. Check No. 8776 in the amount of \$750.00 was included to cover the filing fee for the application. The application contained a total of eight claims, including three independent claims.

However, the Applicants' representative's Monthly Statement of Account for February 2004 (copy enclosed) indicates that an additional independent claims fee was charged to the deposit account on February 18, 2004, even though there were no additional independent claims filed. A copy of the mailroom date-stamped receipt, Check No. 8776 and the claims as filed is enclosed as evidence that the Patent

Serial No. 09/653,622

STATUS AND
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Office had received the check noted above for the correct
number of independent claims.

Please credit a refund in the amount of \$168.00 to the
Deposit Account No. 50-1417.

Respectfully submitted,

Gene W. Stockman R N21021
for Shrinath Malur
Registration No. 34,663
Attorney for Applicant(s)

MATTINGLY, STANGER & MALUR, P.C.
1800 Diagonal Road, Suite 370
Alexandria, Virginia 22314
Telephone: (703) 684-1120
Date: April 20, 2004

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NIT-380

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Alexandria, Virginia 22314
(703) 684-1120

In re Patent Application of

H. SATO et al

Serial No.

Filed: June 30, 2003

For: OPTOELECTRONIC WAVEGUIDING DEVICE, STRUCTURAL
BODY INCLUDING THE SAME, AND OPTICAL MODULE

Papers Filed Herewith:

1. Title Page; Specification (18 pp.), 8 Claims, Abstract;
2. Declaration and Power of Attorney;
3. Check #8776 for \$750.00 (Filing Fee);
4. 8 sheets drawings (Figs. 1-14);
5. Information Disclosure Statement, PTO-1449 Form, in duplicate; and copies of documents cited;
6. List of Inventors' Names and Addresses;
7. Certified copy of JP 2002-247967;
8. Transmittal; and
9. Serial No. postcard.



Receipt is hereby acknowledged of the papers filed, as identified in connection with the above-identified patent application.

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Deposit Account Statement

Requested Statement Month:

February 2004

Deposit Account Number:

501417

Name:

MATTINGLY STANGER & MALUR, P.C.

Attention:

Address:

1800 DIAGONAL ROAD, SUITE 370

City:

ALEXANDRIA

State:

VA

Zip:

22314

DATE SEQ	POSTING REF TXT	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
02/02 4	09604918	ASA-891	1201	-\$156.00	\$8,315.00
02/02 13	10319501	ASA-394-06	1251	-\$110.00	\$8,425.00
02/04 1	09935171	H-1003	1251	-\$110.00	\$8,535.00
02/06 1	09988644	H-1019	1501	\$1,300.00	\$7,235.00
02/06 2	09988644	H-1019	1504	\$300.00	\$6,935.00
02/06 32	10375197	NIT-370	1806	-\$180.00	\$7,115.00
02/09 127	6643349		1460	\$130.00	\$6,985.00
02/17 1	09863261	HIT 2 690-08	1460	-\$130.00	\$7,115.00
02/18 3	09856758	ASA-1003	1806	\$180.00	\$6,935.00
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PATENT, TRADEMARK
AND COPYRIGHT LAW

STATUS AND PRIORITY
FACSIMILE: (703) 684-1167
BRANCH

2004 APR 23 PM 3:04

Date: June 30, 2003

Attorney Docket No. NIT-380



24956

PATENT TRADEMARK OFFICE

To: Assistant Commissioner for Patents
Washington, D.C. 20231

Sir: Transmitted herewith for filing is the patent application of:

Inventor: H. SATO et al (see attached)

For:
OPTOELECTRONIC WAVEGUIDING DEVICE, STRUCTURAL
BODY INCLUDING THE SAME, AND OPTICAL MODULE

Enclosed are:



8 Sheets of Drawings



This application is being filed without an executed Declaration.



Priority is claimed from Japanese Application No. 2002-247967
filed August 28, 2002

☒ A certified copy is attached herewith.



Copies of the disclosure documents listed on the attached PTO 1449 form and

☒ discussed in the specification or ☒ attached Information Disclosure Statement.



A verified statement to establish small entity status under 37 CFR 1.9 and 1.27.



Specification: Abstract X, Description 18 pages; and 8 claim(s).



Preliminary Amendment.



Executed Declaration.

The filing fee is calculated as shown below:

Small Entity

Large Entity

For:	No. Filed	No. Extra
Basic Fee		
Total Claims	8 - 20 =	0
Indep Claims	3 - 3 =	0
<input type="checkbox"/> Multiple Dependent Claim (s)		

* If difference is less than zero
then enter '0' in second column

Rate	Fee
	\$ 370
x 9	\$
x 42	\$
+ 140	\$
Total	\$

OR

Rate	Fee
	\$ 750
x 18	\$ 0
x 84	\$ 0
+ 280	\$ 0
Total	\$ 750



A check in the amount of \$ 750.00 is enclosed for the filing fee.



The Commissioner is hereby authorized to charge any additional fees that may be required to
Deposit Account No. 50-1417.

Respectfully Submitted,

By: _____

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WHAT IS CLAIMED IS:

1. A semiconductor optical device including an active region and an optical guide, comprising:

a first electrode formed on a top surface of the semiconductor optical device, the top surface including a area above the active region or a surface of the optical guide; and

a film located at an area at least above the active region and applied on a portion of the first electrode.

2. A semiconductor optical device according to claim 1, wherein said film is made of an electrically highly insulative material, metal oxide, a nitride or a silicide.

3. A mounting structure comprising a mounting plate for mounting the semiconductor optical device of claim 1, wherein:

a portion of the first electrode of the semiconductor optical device, which is not coated with said film, is fixed to a second electrode formed on the mounting plate via solder; and

said film is in contact with the solder.

4. A mounting structure for mounting a semiconductor optical device including an active region and an optical guide, wherein:

the semiconductor optical device comprises:

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a first electrode formed on a top surface of the semiconductor optical device, the top surface including a area above the active region or a surface of the optical guide; and

a film located at an area at least above the active region and applied on a portion of the first electrode; and

wherein a portion of the first electrode of the semiconductor optical device, which is distant from the active region, is fixed to a second electrode formed on a mounting plate via solder; and

said film is in contact with both said solder and said semiconductor optical device.

5. A mounting structure for a semiconductor optical device according to claim 4, wherein said film is provided at least at a position on a vertical line connecting the active region and the mounting plate.

6. A mounting structure for a semiconductor optical device according to claim 4, wherein said semiconductor optical device is a ridge type device, a buried type device or a vertical cavity surface emitting type device.

7. A semiconductor optical device mounting structure according to claim 4, wherein said film is made of an electrically highly insulative material, metal oxide, a nitride or a silicide.

8. A non-hermetically packaged optical module in

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which a mounting structure mounting a semiconductor optical device is incorporated therein, wherein:

the semiconductor optical device comprises:

a first electrode formed on a top surface of the semiconductor optical device, the top surface including a area above the active region or a surface of the optical guide; and

a film located at an area at least above the active region and applied on a portion of the first electrode; and

wherein a portion of the first electrode of the semiconductor optical device, which is distant from the active region, is fixed to a second electrode formed on a mounting plate via solder; and

said film is in contact with both said solder and said semiconductor optical device.